

Local Authority:

FOOD LAW ENFORCEMENT

IAA / Internal Monitoring Focused Audits

CHECKLISTS

Local Authority:

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Local Authority:

Checklist D - Premises files

Section 5 – Authorised Officers

Section 7 - Food Premises Inspection

Section 10 - Advice to Business

Section 11 - Food Premises Database

Section 16 - Records and Inspection Reports.

Frequency of checks: A minimum of 5 premises files for each discipline (Food hygiene and Food Standards) should be examined.

Premises are considered to have been inspected at the correct frequency when the inspection is no more than 2 months after the inspection due date.

	1	2	3	4	5	6	7	8
Food Hygiene (A & B – go back and examine a minimum of the last 3 inspections) (C – F – go back and examine a minimum of the last 2 inspections) Food Standards (H – go back and examine a minimum of the last 3 inspections) (M – L – go back and examine a minimum of the last 2 inspections)								
File Name/identifier								
Date latest inspection [Std – 7.1]								
Risk rating category [Std – 7.1]								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Report sent/left on site [Std - 7.4 & CP – 9.26 & CP - 8.23]								
Correctly risk assessed [Std – 7.1]								
Reduction of A or B Rating] Consultation with Lead/Snr. Officer [CP – 9.27]								
Inspected by officer with correct authorisation. [Std – 5.3]								
Revisited in accordance with LA policy [Std - 7.4] (<i>CUSTOMISE</i>)								
Follow-up letters sent in accordance with LA policy [Std – 7.4] (<i>Customise</i>)								
Liaison with home/originating authority as appropriate								
Six years records [Std – 16.2]								
Inspection details on computer database and file are up to date, accurate & consistent. [Std – 16.1]								
Evidence of appropriate follow up / enforcement action in line with Enforcement Policy?								
Any evidence on file of internal monitoring [Std – 19.2]								
FOOD HYGIENE								
Records - Size and scale of business [CP – 9.29]								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Records - Type of food activity [CP – 9.29]								
Information on hygiene training [CP – 9.29]								
Assessment of businesses hazard analysis [CP – 9.29]								

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Local Authority:

Checklist E - Inspection reports and letters
Section 7 - Food Premises Inspection

Frequency of checks: A minimum of 5 inspection reports should be checked. Auditors should generally check the most recent inspection report from those premises files examined.

N.B. There is currently no requirement to issue a report following feeding stuffs inspections.

	1	2	3	4	5	6	7	8
File Name/File Identifier								
Food Hygiene and Food Standards Report of Inspection requirements [CP – 9.26 & Annex 3] [CP – 8.23 & Annex D &E]								
Name and Address of Premises								
Person seen/interviewed								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Type of premises								
Date and time of inspection								
Samples taken								
Signed by officer								
Officers name in capitals								
Date of report								
Food Hygiene								
Where LACORS/FSA aides memoire not fully covered - Inspection report records implications. [CP – 9.25]								
Officer designation for FH inspections								
Specific legislation								
Areas inspected								
Records examined								
Summary of matters discussed at closing meeting								
Summary of action to be taken by LA								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Follow-up letters – Food Hygiene CP – 5 requirements								
Reason for work clear [CP - 5.8]								
Works/action clearly understandable [CP - 5.8/9]								
Legal and advice distinguished [CP –5.10 & CP – 9.35]								
Correct legislation references [CP - 5.9]								
Advice / interpretation takes into account IGs and centrally issued guidance [CP - 9.53]								
Time scales for works/action [CP - 5.9]								
Indicate opportunity to discuss with officer /manager [CP - 5.52-53]								
Any evidence on file of internal monitoring [Std – 19.2]								
Food Standards – <u>Manufacturing</u>								
Product design and recipe								
Raw materials								
Production Process								
Quality Systems								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Completed Product								
Storage and Distribution								
Product labelling								
Comments and conclusions								
Advice								
Statement report does not indicate compliance with Food Safety Act								
Food Standards – Non-manufacturing								
Quality systems								
Stock rotation								
Product packaging and Labelling								
Materials and articles in contact with food								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Comments and conclusions								
Advice								
Statement report does not indicate compliance with Food Safety Act								
Follow-up letters – Food Standards in compliance with legislation and national guidance [Std – 7.4]								

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Local Authority:

Checklist F - Improvement Notices

Section 5 – Authorised Officers

Section 7 - Food Premises Inspection

Section 15 – Enforcement

Frequency of checks: A minimum of 5 improvement notices served by differing officers or 100% if less than 5 have been served in the last 2 years.

	1	2	3	4	5	6	7	8
Name of Premises/Notice Identifier								
IMPROVEMENT NOTICES								
Signed by correctly authorised officer [CP – 5.20]								
Signed by officer witnessing contravention [CP – 5.24]								
What was IN for? (detail below)								
Was an Improvement Notice the appropriate course of action?								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Served on proprietor(s) [CP – 5.26]								
Proprietor's full name on notice [LACORS guidance 30/7/92]								
Details of regulation contravened [CP - 5.32]								
Correct regulation reference [CP – 5.32]								
Reason for contravention - Reason specified [CP – 5.32]								
Wording of notice clear & easily understood [CP - 5.30]								
Wording reflects LACORS & centrally issued guidance [CP - 9.37]								
Works required - Measures to be taken specified [CP - 5.35]								
- Wording of works required clear & and easily understood [CP - 5.30]								
Wording reflects LACORS & centrally issued guidance [CP - 9.37]								
Clear time limits (14 days min.) [CP – 5.35]								
Liaison with Home Authority where appropriate [CP– 5.51]								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Indication of works of equivalent effect [CP – 5.44]								
Who to appeal to [CP – 5.50]								
Where local court sited [CP – 5.50]								
Time period of appeal given [CP - 5.50]								
Evidence of proper service by hand/post [CP – 5.27]								
Timely check on compliance [CP – 5.55]								
Appropriate follow-up action taken if needed? [Std – 7.4]								
LA granted time extension Y/N [CP – 5.43]								
Proprietor written to – new time limits[CP – 5.43]								
Letter confirming works are satisfactory [CP – 5.55]								
Any evidence on file of internal monitoring [Std – 19.2]								

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Checklist G - Emergency Prohibition Procedures

Section 5 – Authorised Officers

Section 7- Food Premises Inspection

Frequency of Checks: A minimum of 5 or 100% if less have been served in the last 2 years. Auditors should include at least 3 that have been checked by the monitoring system.

	1	2	3	4	5	6	7	8
Name of premises/Notice Identifier								
VOLUNTARY CLOSURE								
Was voluntary closure appropriate course of action?								
What was the reason for the closure? (detail below)								
Was it confirmed in writing with the proprietor [CP - 6.28]								
Premises visited to check on closure. [CP – 6.28]								

Local Authority:

	1	2	3	4	5	6	7	8
Appropriate follow-up action taken on breach of a voluntary closure agreement.								
Any evidence on file of internal monitoring [Std – 19.2]								
EMERGENCY PROHIBITION NOTICE								
Was EPN the appropriate course of action?								
What was the reason for the EPN? (detail below)								
Was the correct issue the subject of the prohibition?								
EPN signed by correctly authorised officer [CP - 6.30]								
Premises meets criteria set out in enforcement policy [Std – 15.1]								
EPO application notified to proprietor at least one day before hearing [CP - 6.44]								
Appeal rights given to proprietor? [CP – 6.91]								
Address of local court given? [CP – 6.91]								
Monitoring visits made? [CP -6.48]								
Last visit less than one day before hearing [CP - 6.48]								

Local Authority:

	1	2	3	4	5	6	7	8
LA responds to all applications from proprietor within 14 days [CP – 6.76]								
Certificates issued lifting EPOs asap/within 3 days [CP – 6.78]								
Notification of continuing risk to health served asap where appropriate? [CP – 6.79]								
Premises reprogrammed for inspection within 6 months of lifting the EPN where appropriate. [CP - 6.35]								
Appropriate follow-up action taken on breach of a Notice/Order or voluntary agreement?								
Did prosecution/formal caution follow the prohibition.								
Any evidence on file of internal monitoring [Std – 19.2]								

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Checklist H Prosecutions

Section 5 – Authorised Officers

Section 7 - Food and Feeding Stuffs Premises Inspection

Section 15 – Enforcement

Frequency of checks: A minimum of 5 or 100% if less have been taken in the last 2 years. Auditors should include at least 3 that have been checked by the monitoring system.

This checklist applies to both formal Cautions and Prosecutions

	1	2	3	4	5	6	7	8
Name of Premises/Premises Identifier								
Authorised by officer with appropriate delegated powers? [Std – 5.3]								
Evidence that enforcement policy has been considered. [Std – 15.3]								
Has action been taken in line with enforcement. Policy guidelines? [Std – 15.3]								

Local Authority:

	1	2	3	4	5	6	7	8
If no – Is the reason for the departure documented? [Std – 15.3]								
What was the reason for the prosecution? (detail below)								
Was prosecution the appropriate course of action?								
Prosecution taken without unnecessary delay [CP – 2.20]								
Prosecution takes account of PACE [CP - 2.21]								
Prosecuting Officer specified (CPIA)								
Investigating Officer specified (CPIA)								
Officer in Charge of the Investigation specified (CPIA)								
Disclosure Officer specified (CPIA)								
Schedule of unused information (If necessary) (CPIA)								
Certificate from the disclosure officer re. unused info. (CPIA)								
Prosecution prepared in accordance with LA procedures								
Action taken under correct legislation?								
Any evidence on file of internal monitoring [Std – 19.2]								

Local Authority:

Checklist I -Detentions and seizure

Section 5 – Authorised Officers

Section 7 - Food and Feeding Stuffs Premises Inspection

Section 12 – Food Inspection and Sampling

Frequency of checks: A minimum of 5 files should be inspected or less if fewer have been served in the last 2 years.

	1	2	3	4	5	6	7	8
Name of Premises/premises Identifier								
VOLUNTARY SURRENDER								
What was the reason for the surrender? (detail below)								
Was surrender the appropriate course of action?								
Did receipts state “voluntarily surrendered for destruction” [CP – 4.44]								
Receipts signed by persons surrendering food [CP – 4.44]								
Food correctly disposed of [CP – 4.52-54]								
Any evidence on file of internal monitoring [Std – 19.2]								

Local Authority:

	1	2	3	4	5	6	7	8
DETENTION								
What was the reason for the detention? (detail below)								
Was detention the appropriate course of action?								
Served by correctly Authorised Officers [CP – 19.28]								
Notice signed by or on behalf of officer who took decision to detain? [CP – 4.21]								
Does notice clearly specify foods to be detained[CP – 4.13]								
Separate detention of food notice for each type or batch of food? [CP – 4.13]								
Time limit within max 21 days [CP – 4.27]								
Arrangements made to ensure the security of the food were satisfactory [CP – 4.18]								
Removed to another Authority's area? (Y/N)								
If yes, arrangements made with LA to monitor [CP – 4.17]								

Local Authority:

	1	2	3	4	5	6	7	8
Withdrawal notice served (Y/N) [CP – 4.28]								
Decision re Withdrawal notice taken by correctly authorised officer [4.28]								
If no, has food been seized [FSA s9]								
Any evidence on file of internal monitoring [Std – 19.2]								
SEIZURE								
What was the reason for the seizure? (detail below)								
Was seizure the appropriate course of action?								
Seized by correctly authorised officer [CP - 4.20]								
Written confirmation issued immediately after the seizure? [CP – 4.20]								
Chain of evidence from detention to seizure [CP – 4.23]								
Food brought before magistrate within two days [CP - 4.11]								
Person on charge notified of hearing by food condemnation warning notice [CP - 4.20]								
Owner notified of hearing [CP - 4.20]								

Local Authority:

Checklist J - Approved Premises

Section 5 – Authorised Officers

Section 7 – Inspection of Food Premises

Section 10 - Advice to business

Section 11 - Food Premises Database

Section 16 - Records and Inspection reports.

Frequency of checks: A minimum of 5 approved establishments should be checked. Those exporting goods should receive priority, however, a spread of differing types both large and small should be included.

	1	2	3	4	5	6	7	8
The Auditor should note that a number of the items on this checklist are good practice recommended by (A & B – go back and examine a minimum of the last 3 inspections) (C – F – go back and examine a minimum of the last 2 inspections) File reference								
Does the premises appear on the FSA lists?								
Date of last inspection[Std – 7.1]								
Risk rating [Std – 7.1]								
Report/letter sent [Std - 7.4]								
Inspected by officer with correct authorisation. [Std – 5.3]								
Correctly risk assessed								
Revisited in accordance with LA policy [Std - 7.4] <i>CUSTOMISE</i>								

Local Authority:

File reference	1	2	3	4	5	6	7	8
Evidence of appropriate enforcement actions in line with Enforcement Policy?								
Synopsis of premises & activities including details of production levels (links with derogations.) [CP – 9.29]								
Inspected under correct legislation								
Results of samples taken by the enforcement authority. [Std – 16.1]								
Details of pest control programme. [FVO guidance]								
Detail of hygiene training provided. [CP – 9.29]								
Assessment of HACCP ‘own checks’. [CP – 9.29]								
Details of cleaning programme and chemicals used . [CP – 9.29]								
All inspection details on the database and file are up to date, accurate & consistent. [Std – 11.1]								
Any evidence on file of internal monitoring [Std – 19.2]								
Approval document (Relevant product specific regs.)								
Name and Address of premises								
Name of proprietor								

Local Authority:

File reference	1	2	3	4	5	6	7	8
Unique approval code								
Approved activities e.g. cold store, ready meals etc.								
List of the products approved								
Which vertical regulations the approval is made under								
Statement that approval dependant on compliance								
Requirement to notify LA of changes								
Classification (meat prods) Industrial/non-industrial – Derogation details								
Any other conditions								
Any evidence on file of internal monitoring? [Std - 19.2]								
Suspension								
Was the suspension warranted and in line with the Enforcement Policy?								
Was the correct procedure followed?								
Refusals								
Refused to approve? (Y/N)								
Was the refusal warranted and in line with the Enforcement Policy								
Written notification of refusal?								

Local Authority:

File reference	1	2	3	4	5	6	7	8
Revoked approval (Y/N)								
Was the revocation appropriate?								
Written notification of intention to revoke								
Was an EPO in place prior to revocation? (dairy, egg and fishery products only)								
Written notification of revocation?								
Evidence that Agency informed of revocation?								
Any evidence on file of internal monitoring of refusal/revocation [Std – 19.2]								

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Local Authority:

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Checklist K – Database

Section 7 - Food and Feeding Stuffs Premises Inspection

Section 11 – Food Premises Database

Frequency of checks: A minimum of 5 checks from an up to date yellow pages or from observation of the area and 5 newly registered premises. Premises should include - Food manufactures/caterers/retailers/butchers/bakers etc. Different parts of the Authority's area should be included.

	1	2	3	4	5	6	7	8
Name of premises								
Record on computer system 1 [Std – 11.1]								
Record on computer system 2 [Std – 11.1]								
Premises included within the inspection programme								

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Local Authority:

Further checks to be considered:

Auditors should make an assessment of the depth to which the database needs to be examined following completion of sections 11 and 6, and Checklist K. they may consider the following checks: (any lists requested should be marked with an X)

X	Check	Reason
	NIR list	This is requested at PVQ stage and can be used to identify incorrectly risked premises. It will also be useful in determining compliance with an inspection programme.
	Caterers/risk	A list of caterer and risk category may identify incorrect risk rating. Most restaurants will be C or above. The list may bring up B & Bs, Childminders and village halls that might be legitimately below a C. (Hygiene only)
	List of Manufacturers as defined by the FSA return	This list may highlight wrongly classified premises. The result may be incorrect FSA returns. If risk category, last inspection date and next inspection date is included then problems in missing fields/ no risk assessment/ incorrect risk assessment may be determined. This would indicate an inaccurate database and/or problems with risk assessment. This list could also be cross checked to approvals list as all approved premises are normally manufacturers.
	All A or high risk rated premises	Again incorrectly rated premises may be discovered but also this list has discovered premises with no food activity to include last inspection and next inspection date.
	Those premises with a food inspection code with no risk assessment category	This report will identify premises with missing food assessments. It can also be run in reverse to identify those premises with a risk category that have not got a food inspection code. Indicating an inaccurate database.
	Overdue inspections	List of overdue inspections by risk category, to show premises type and dates of last and next inspections.
		Customise where other reports are requested

Local Authority:

Checklist L –Complaints

Section 8 - Food and Feeding stuffs complaints

Frequency of checks: A minimum of 5 complaints should be checked. These should be sampled across the officers dealing with complaints and include a variety of types of complaint.

Those checks, which are marked with an asterisk, are applicable to Feeding Stuffs Complaints files

File reference	1	2	3	4	5	6	7	8
Complaint reference								
Complete information on complainant and food/feeding stuffs item/premises.[LACORS guidance.]*								
Contact with supplier/ /manufacturer and/or importer as appropriate. [CP – 2.3]								
Contact with Home /Originating authorities as appropriate. CP – 2.6]								

Local Authority:

File reference	1	2	3	4	5	6	7	8
Appropriate investigation carried out.[Std – 8.3]*								
Appropriate action taken in line with enforcement policy?								
Confirm results of investigation with supp/man/importer. [Std – 8.3]								
Confirm results of investigation with complainant. [Std – 8.3]*								
Confirm results of investigation with HA/OA. [Std – 8.2]								
Complies with timing set out in Authority procedures? <i>CUSTOMISE</i>								
Complaint details on premises file [Std – 16.1]								
Single Liaison Body contacted as appropriate. [CP – 20.11]								
FSA contacted as appropriate. [CP – 16.13]								
Any evidence on file of internal monitoring [Std 19.2]								

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Local Authority:

Local Authority:

Checklist M - Sampling

Section 5 – Authorised Officers

Section 12 – Food and Feeding Stuffs inspection and sampling

Frequency of Checks: A minimum of 5 checks should be made.

N.B. References differ for feeding stuffs samples.

	1	2	3	4	5	6	7	8
Sample reference number/premises ref.								
General								
Part of sampling programme/in accordance with sampling policy. [Std – 12.3]								
Results on file [Std – 16.1]								
Appropriate action taken [Std – 12.5]								
Liaison with home/originating authority as appropriate.								
Business informed of unsatisfactory result?								
Taken by trained authorised officer [CP – 19 - 29] [For Feeding Stuffs – Std – 5.3]								
Any evidence on file of internal monitoring [Std – 19.2]								

Local Authority:

File reference	1	2	3	4	5	6	7	8
Formal Sample for analysis								
Third part secured and in correct environment [CP – 7.17 &18]								
Notification of Manufacturer/packer and/or importer [CP – 7.24]								
Sample sent to an accredited lab. [CP – 7.10]								
Feeding Stuffs – Formal								
Third part stored, labelled and sealed correctly. [Sch 1 Part III S & A Regs]								
Third part kept for 9 months unless sent to Gov. Chemist [Ag Act --S77]								
Portion sent to seller and manufacturer as appropriate [Ag Act – S77/E&I Regs.]								
Any oil analysis done within 3 weeks of date of sample. [S & A Regs – Reg 8]								
Certificate as per Feeding Stuffs (S & A) Regs Sch 3 or E & I Regs Sch 2								
Copy of certificate sent to those who received sample portions. [E & I Regs – Reg 102/Ag Act - S77 – 4]								

Local Authority:

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Local Authority:

**Checklist N - Food Hazard Warnings
Section 12 – Food Hazard Warnings**

Frequency of Checks: Audit manager to liaise with food hazard team for an up to date list of the FHWs sent to LA. The checklist should be prepared before the audit. *(Note to LA - This list is updated before each audit and the data below is only an example)*

Can LA print out a list of premises needed for the hazard warning? E,g, delis? Yes/No

FHW reference	Category	Date sent	Action required	Date Received	Action consistent with instructions [CP – 16.22-26]	Actions documented [Std – 14.3]	Evidence of Internal Monitoring
Ref: 42/2004 Contamination of Various Nanas Products Palm oil Zomi with Sudan 4 Dye.	C	14/09/04	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS. “For Action” as deemed necessary				
Ref: 41/2004 High Levels of Erucic Acid in Foods preserved in oil.	C	01/09/04	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS. “For Action” as deemed necessary				
Ref: 40/2004 Contamination of Various Brand Palm Oils Bottled by MacPhillips Food Ltd Sudan 4 Dye.	C	16/08/04	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS. “For Action” as deemed necessary				

Local Authority:

Ref: 39/2004 Contamination of Various Praise Brand Palm Oils with Sudan 4 Dye	C	09/08/04	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS. “For Action” as deemed necessary				
Ref: 30/2004 Contamination of Aconbury Sprouts Brand, Alfalfa Products with Salmonella	B	15/07/04	“For Action” To be passed without delay to the principal officer for Food Safety.				
Ref: 04/2004 Contamination of TRS Wholesale Company Ltd. Brand Tandoori Masala Barbecue Ground Spice and Tandoori Masala Natural Clear Powder with Sudan I Dye	B	15/1/04	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS.				
Ref: 04/2004 Update 1	C	22/1/04	“Action as deemed necessary”				
Ref: 50/2003 Maysum Brand of Frozen Samosas and Spring Rolls Contaminated with the Illegal Dye Sudan I	B	27/11/03	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS.				
Ref: 47/2003 Methanol Contamination of Counterfeit Kirov Vodka	B	10/11/03	“For Action” Heads of EH Services via principal officer (Food Safety).				
Ref: 47/2003 Update 1	B	14/11/03	“For Action”				
Ref: 45/2003 Pran Brand Naga Chilli Pickle Extra Hot	B	6/11/03	“For Action” Heads of EH Services via principal officer (Food Safety) and Directors of TS.				
Ref: 45/2003 Update 1	C	25/11/03	“For Action” as deemed necessary				
Ref: 45/2003 Update 2	C	08/03/04					
Ref: 45/2003 Update 3	C	01/04/04					

Local Authority:

Checklist P – Butchers’ Licensing

Section 5 – Authorised Officers

Section 7 – Inspection of Food Premises

Section 10 - Advice to business

Section 16 - Records and Inspection reports.

Frequency of checks: A minimum of 5 licensed butchers should be checked.

	1	2	3	4	5	6	7	8
Name address of premise/file identifier								
[FS(GFH)Regs 1995 as amended. Reg 4A Schedule 1A]								
Standard application form in use.								
Application determined within 28 days of receipt. [Para. 3.2]								
Licence Assessment								
Description of operations at premises (e.g. mixed business premises.)								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Premises assessed as falling within the scope of licensing regs correctly. [Para 1(a) &(b)]								
Assessment of compliance with FS (GFH) and FS (TC) Regs. [Para. 4.1(b) & 5.1(a)]								
Assessment of training for all food handlers. [Para. 4.1(b) & 5.1(c)]								
Assessment of training for supervisor. [Para. 4.1(b) & 5.1(c)]								
HACCP procedures in place. [Para. 4.1(b) & 5.1(d)]								
Confirmation that HACCP records retained for 1 year [Para 4.1(b) & 5.4(b)]								
Evidence of liaison with Home Authority where appropriate. [LACORS circular – Aug. 2000]								
Evidence that £100 fee levied appropriately. [Para. 4.2]								
In mixed business premises – licence conditions applied to appropriate parts of premises only. [Para 5.6 (a) (b) & (c)]								
Any evidence on file of internal monitoring [Std – 19.2]								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Licence								
Name of applicant/company								
Address of company								
Date licence comes into force								
Expiry date								
Licence issued by appropriately authorised officer [Para 4.1]								
Condition of issue incorporated on licence (i.e. Person to give notice of material changes)[Para 8 Schedule 1A]								
Statement about legislation and commercial activities re ready to eat food and raw meat.								
Any evidence on file of internal monitoring? [Std – 19.2]								
Licence refused								
Notice specifies conditions which aren't satisfied. [Para. 3.2]								
Was refusal appropriate?								
Notice contains appeal rights. [Para. 3.2]								
Appropriate follow up action taken [Std – 7.4]								
Any evidence on file of internal monitoring of refusal [Std – 19.2]								

Local Authority:

File Identifier	1	2	3	4	5	6	7	8
Licence suspended/revoked								
Notice specifies breached conditions [Para. 10.2]								
Was suspension/revocation appropriate?								
Notice specifies appeals arrangements. [Para. 10.3]								
Monitoring to check that no unlicensed premises are in operation [Para. 2(a)]								
Any evidence on file of internal monitoring of suspension / revocation [Std – 19.2]								

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Checklist Q – Food related Infectious Disease Notifications
Section 13 – Control and Investigation of Outbreaks and Food Related Infectious Disease.

Auditors should check a minimum of 5 investigations of food related diseases, investigated by more than one officer, and covering more than one suspected causative organism.

	1	2	3	4	5	6	7	8
File Reference								
Appropriate investigation carried out								
Follow-up inspection of any linked food premises.								
Food/environmental sampling.								
Stool specimens.								
Checks/exclusions of food handlers/high risk groups								
Any evidence on file of internal monitoring [Std – 19.2]								

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Local Authority:

Checklist R – Approved/Registered Feeding Stuffs Premises Files

Section 5 – Authorised Officers

Section 7 – Food and Feeding Stuffs Premises Inspection

Section 16 – Records

Frequency of checks – A minimum of 5 premises files should be checked.

	1	2	3	4	5	6	7	8
File Name/identifier								
General								
Approval/Registration number issued [Std – 7.2]								
Inspected by officer with correct authorisation (European Communities Act) [Std – 5.3]								
Appropriate action taken on any non-compliance found. [Std – 7.4]								
Two years records [Std – 16.2]								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Revisited in accordance with local authority policy - <i>Customise</i>								
Records of amendment of approvals/registrations [Std – 7.2 & 16.1]								
All inspection details on the database. [Std – 11.1]								
Any evidence on file of internal monitoring [Std 19.2]								
Approved Feeding Stuffs premises Feeding Stuffs (Establishments and Intermediaries) Regs. 1999								
Application for approval on file [Std – 16.1]								
Date of on spot verification [Reg. – 6 & Reg. – 13]								
Evidence that the following are checked: [Dir 95/69/EC]								
Personnel								
Production								
Quality Control]								
Storage								
Documentation/register								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Complaint and product recall								
On register of approved premises. [Std – 7.2]								
Withdrawal of Approvals (Establishments and Intermediaries Regs. 1999)								
Written notice served. [Reg. – 9 & 16]								
Register amended. [Reg. – 8 & 15]								
Registered Feeding Stuffs premises (Establishments and Intermediaries Regs. 1999)								
Declaration for Registration on file. [Std – 16.1]								
For all registered premises which have been visited – evidence that the following have been checked: [Dir 95/69/EC]								
Facilities and equipment								
Personnel								
Production								
Quality Control								

Local Authority:

File identifier	1	2	3	4	5	6	7	8
Storage								
Documentation/Register								
Cancellation of registrations (Establishments and Intermediaries Regs. 1999)								
Satisfied activity ceased or written notice served. [Reg. – 22,23 & 29,30]								
Register amended. [Reg. - 22 & 29]								

NOTES
